ILL Protocol Manual for the State of Arizona

Preface

An ILL Protocol Task Force Team that consisted of the representatives from various libraries in Arizona, academic and public; small, medium and large libraries; big borrowers and big lenders put this manual together. This is a result of the discussion and input from the following:

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The manual is meant to serve as a guideline to supplement the OCLC Interlibrary Loan Guide and borrows heavily from the ILL code for the United States, revised in 2001. It is important that people who work with ILL or who manage that service, become familiar with standard policies and procedures and that they keep this knowledge up to date.

Amigos Library Services, Inc. does a number of training programs on Interlibrary Loan for staff at different levels, New, Intermediate and Advanced Users. We encourage Library Staff to attend these in order to optimize the usage of the available tools and technologies.

We thank all those who put in time and effort to put this manual together. Our special thanks to Betsy Howard, who helped with organizing our meeting, combing through the manuscript for errors and omissions and with all the behind the scenes work.

Malavika Muralidharan
Project Coordinator - Dec 2002

Introduction

In May 1992 the Arizona Department of Library, Archives, and Public Records (DLAPR as it was then called) selected OCLC/AMIGOS Group Access Capability (GAC) to establish a statewide database. The purpose of this was to enable the libraries to know what was available in the network and to facilitate Interlibrary Loans.

This database was called AZNET. It began with 27 OCLC/AMIGOS/PACNET member libraries and 27 non-OCLC/AMIGOS libraries referred to as Selective Users. AZNET has grown steadily over the years, at present there are 34 Full OCLC/AMIGOS members and 50 Selective Users.

The Objective

The objective of AZNET is to provide Interlibrary Loan and referral services statewide through a network of public, academic and special libraries.

Definition of ILL

This code is intended to cover transactions between two libraries. Transactions between libraries and commercial document suppliers or library fee-based services are contractual arrangements beyond the scope of these guidelines.

The terms "requesting library" and "supplying library" are used in preference to "borrowing" and "lending" to cover the exchange of copies as well as loans.[1]

The Philosophy Behind ILL

Access to information is the fundamental right of all Arizona citizens. Since no individual Library has the resources available to meet all its users needs, resource –sharing through a statewide network of public, school, academic and special libraries is vital in supporting the needs of Arizona residents for information.

Inter-Library Loan is one of the ways of resource sharing. It is a cost effective method providing the information needs of Arizona residents. It does not serve as an alternative to collection development in the areas that patrons regularly need. The policies are based on accepted national practice and have been designed to be as liberal and easy to apply as possible.

In the interest of providing quality service, libraries have an obligation to obtain materials to meet the informational needs of users. When local resources do not meet those needs, interlibrary loan is the appropriate alternative. The effectiveness of the national interlibrary loan system depends on participation of libraries of all types and sizes.

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[1]http://www.ala.org/rusa/stnd_lnc.html

ILL is intended to complement local collections and is not a substitute for good library collections intended to meet the routine needs of users. ILL is based on a tradition of sharing resources between various types and sizes of library and rests on the belief that no library, no matter how large or well supported, is self-sufficient in today's world. It is also evident that some libraries are net lenders and others are net borrowers, but the system of interlibrary loan still rests on the belief that all libraries should be willing to lend if they are willing to borrow.

This code establishes principles that facilitate the requesting of materials by a library and the provision of loans or copies in response to those requests.

OCLC/AZNET/ GAC/AMINET/LVIS

About OCLC The OCLC online system is comprised of three main subsystems. These are

1. Cataloging (CAT)

2. Interlibrary Loan (ILL)

3. Union List (ULS)

For the purpose of the serials union list, participants will be using the Union List subsystem to *Enter* or *Update* the holdings information and the interlibrary loan subsystem to *Borrow* or *View* holdings.

Except for full members wishing to catalog their serials or view more detailed bibliographic information it should not be necessary to use the Cataloging subsystem.

To access any of the OCLC subsystems, an authorization number and password is necessary. Depending on the in-house procedures, libraries may have different authorizations for different subsystems or one single authorization for all subsystems. Detailed instructions about how to modify authorizations, can be obtained from OCLC's website www.OCLC.org under the Admin module.

What is a Group Access Capability (GAC)? . A GAC consists of a group of Libraries that use OCLC system for Resource sharing and interlibrary lending. OCLC profiles each member of the GAC group so that all the members have access to each other's bibliographic records, locations and summary holdings records. A GAC group has two types of members
- **Full members** That catalog using the OCLC system and can view and access the holdings of any of over 100 GACs that exist.
- **Selective users** use the OCLC system for ILL only and can view only the AZNET members' holdings.
- **Referral Centers** Certain lenders are identified as referral centers. A "referral center" is a full OCLC participating institution that can refer a selective user's ILL requests outside of a GAC group. Arizona State Library Archives and Public Records (symbol AZP) is our referral center.

- **Profiling** OCLC creates an on-line profile that allows the system to identify group members. If an Institution is a full member, its OCLC symbol is identified with the GAC group. All members of a GAC group share a four-character group symbol that lets them retrieve Union list holdings and location records of other group members.
- **Authorizations** Authorization modes define the kinds of activities users can perform. OCLC assigns a full-mode authorization number to an individual user of OCLC ILL. The *individual user* is the staff who logs on to OCLC to do the ILL, whereas the *selective user* applies to the entire Institution.

GAC Groups in the Amigos region are
- **All AMIGOS GAC/AMINET (SW@P)**
- **Alliance for Higher Education of North Texas (GAC/UL) (IUCA)**
- **Arkansas Libraries Online Network (AL@N)**
- **AZNET/ Arizona Libraries On-line Network (AZ@N)**
- **GAC in Oklahoma (OTIS)**
- **New Mexus/ New Mexico GAC (NM@G)**
- **Texas Group (TX@G)**
- **Tulsa Area Library Cooperative (GAC/UL) (TUGA)**

What is AZNET? Arizona State Library Archives and Public Records, has created and supported AZNET to assist the libraries of Arizona in meeting the objective stated above AZNET is a Group Access Capability (GAC) through OCLC, dedicated to providing the best access to materials to the all of the citizens of the State of Arizona in an efficient and effective manner. AZNET is used for interlibrary loan and union listing. It cannot be used for cataloging. It exists to serve the best interests of all its participants. It also means that all participants contribute their share to AZNET's success with no single library or type of library bearing an undue proportion of Inter-Library Loan volume.

What is AMINET? AMINET is an Amigos GAC that includes libraries in Arizona, New Mexico, Texas, Oklahoma, Arkansas Consequently the AMINET is a much larger database than AZNET since it includes the holdings of libraries in 5 states.
Before joining AMINET the library must belong to a local GAC like AZNET. There is an additional small fee to be a part of the AMINET.

What is LVIS? Libraries Very Interested in Sharing This is a group established in 1993 and now has over 1400 libraries, around the USA, which have agreed to share resources with each other, or copy up to 30 pages without a charge. There is a $28.60 one-time fee to join LVIS. To join go to www.amigos.org and type in LVIS as the search term.

The benefits of LVIS are that the ILL process is streamlined and faster because of the no-charge policy, there is greater Load Leveling and thus lessens the burden on major research libraries, greater geographic spread and encourages inter-state resource sharing.

The Goals of AZNET are:
- To provide access to Library materials not available at the patron's library
- To support the spirit of interlibrary cooperation among all types of Libraries by providing a framework for cooperation at the local and state level
- To facilitate lending and borrowing in Arizona
- To provide standards, guidelines and protocols for consistent interlibrary loan practice at the local and state level. The protocols are to be applied to all AZNET transactions.
- To encourage continued development of high quality interlibrary loan service to Arizona users.
- Federal LSTA funds are used Statewide to pay for the first year's membership to the AZNET.

AZNET Membership Libraries wishing to join AZNET must meet the following criteria:
1. The organization must have an established library collection housed in an area designated as the library.
2. The organization must have a person designated as a full-time librarian for the maintenance and development of the collection.
3. The libraries should also be willing to comply with the ILL protocol code for borrowing and lending.

Signers of the Amigos Resource Sharing Agreement, in addition to following the procedures laid out in this manual will not charge each other

- Fees for handling ILL requests
- Postage or other transportation charges
- For Photocopies up to 50 pages per bibliographic citation. Charges beyond the 50 pages are at the discretion of the supplying library

For the latest fee for the various categories of AZNET membership please go to the AMIGOS website www.amigos.org

ILL Policy State Issues

LSTA State Grant-in-aid The State Grant-In-Aid (SGIA) program was developed in 1981 through Legislative appropriations to help Arizona libraries. The SGIA is awarded to libraries that, among other things, participate in free statewide interlibrary loan and resource sharing activities.

- **Initial AZNET Membership** The State Library uses LSTA funds to pay all costs for the first two years AZNET membership for any Public Library in the State of Arizona.

- **Net Lender reimbursements** The State library reimburses Arizona libraries that are net lenders at the rate of $3.00/ per net loan (or the current rate), if funds are available Net lending is established based on the statistical data provided by OCLC about borrowing and lending among Arizona Libraries.

- **Retro-conversion and Tape loading**. The State Library pays for retro-conversion of your existing catalog and uploading the MARC records to OCLC. This would mean that if the record already exists in WorldCat, your location symbol will be attached, if not it will create a new record for the title. The Tape-loading process is detailed in the Appendix. (to be completed)

Violation of agreement Each Library is responsible for adhering to the provisions of this code in good faith. Success of AZNET rests with the compliance by member libraries. Continued disregard of any provision of this code may result in suspension of borrowing privileges after due procedure.

ILL Procedures[2]

1. Responsibilities of the Requesting Library

1.1 Written Policies

A library's interlibrary loan borrowing policy should be available in a written format that is readily accessible to all library users. Whenever possible the borrowing policy should be posted on the library's Web site as well as is available in paper copy at public service desks or wherever other library user handouts are provided.

1.2 Confidentiality

Interlibrary loan transactions, like circulation transactions, are confidential library records. Interlibrary loan personnel are encouraged to be aware of local/state confidentiality rules and laws as they relate to interlibrary loan transactions. Appropriate steps, such as using identification numbers or codes rather than users' names, should be taken to maintain confidentiality. However, it is not a violation of this code to include a user's name on a request submitted to a supplier. Policies and procedures should be developed regarding the retention of ILL records and access to this information. ILL personnel should also be aware of privacy issues when posting requests for assistance or using the text of ILL requests as procedural examples. ALA's Office for Intellectual Freedom has developed a number of policies regarding confidentiality of library records.[i]

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[2] http://www.ala.org/rusa/stnd_lnc.html

ILL staff should adhere to the American Library Association's (ALA) Code of Ethics[ii], specifically principle III, that states: "We protect each library user's right to privacy and confidentiality with respect to information sought or received and resources consulted, borrowed, acquired or transmitted."

1.3 Responsibility for Unmediated ILL Requests

A requesting library that chooses to allow its users to order materials through interlibrary loan without mediation accepts responsibility for these requests as if library staff has placed them. The supplying library may assume that the user has been authenticated and authorized to place requests and that the requesting library assumes full responsibility for transaction charges, the safety and return of material, and the expense of replacement or repair.

1.4 Complete Bibliographic Citation

A good bibliographic description is the best assurance that the user will receive the item requested. Rather than detail these descriptive elements, the code requires the requesting library to include whatever data provides the best indication of the desired material, whether a string of numbers or an extensive bibliographic citation. The important point is that this description be exact enough to avoid unnecessary work on the part of the supplier and frustration on the part of the unrequited user. For example, journal title verification rather than article level verification would be sufficient.

1.5 Identifying Appropriate Suppliers

Requesting libraries should use all resources at their disposal to determine ownership of a particular title before sending a request to a potential supplier. Many libraries contribute their holdings to major bibliographic utilities such as DOCLINE, OCLC, and RLIN and make their individual catalogs freely available via the Internet. The interlibrary loan listserv (ILL-L@listserv.acns.nwu.edu) or other ILL-related lists are also excellent sources for the requesting library to verify and/or locate particularly difficult items.

The requesting library is encouraged to use resources such as the OCLC online Name Address Directory, Research Libraries Group's *Shares Participants and Interlibrary Loan Directory*,[iii] and/or Leslie Morris' *Interlibrary Loan Policies Directory*[iv] to determine lending policies before requesting material.

The requesting library should clearly state on the request an amount that meets or exceeds the charges of suppliers to which the request is sent. Libraries are encouraged to use electronic invoicing capabilities such as OCLC's Interlibrary Loan Fee Management (IFM) system or the Electronic Fund Transfer System used by medical libraries.

1.6 Sending Unverified Requests

Despite the requirements in Sec. 4.4 and 4.5 that an item should be completely and accurately described and located, the code recognizes that it is not always possible to verify and/or locate a particular item. For example, a request may be sent to a potential supplier with strong holdings in a subject or to the institution at which the working paper was written.

1.7 Transmitting the Request

The code recommends electronic communication. For many libraries, sending requests electronically means using the ILL messaging systems associated with DOCLINE, OCLC, RLIN, other products that use the ISO ILL Protocol, or structured email requests.

Lacking the ability to transmit in this fashion, the requesting library should mail a completed ALA interlibrary loan request form, fax a request using ALA's *Guidelines and Procedures for Telefacsimile and Electronic Delivery of Interlibrary Loan Requests*,[v]or otherwise provide the same information via conventional letter or email message.

Any special needs, such as for a particular edition, language, and/or rapid delivery, should be included on the request. The requesting library should include a street address, a postal box number, an Ariel address, a fax number, and/or an email address to give the supplying library delivery options.

1.8 Copy Requests

The requesting library is responsible for complying with the provisions of Section 108(g)(2) Copyright Law[vi]and the *Guidelines for the Proviso of Subsection 108(g)(2)* prepared by the National Commission on New Technological Uses of Copyrighted Works (the CONTU Guidelines).[vii]

1.9 Responsibility of the Requester

The requesting library assumes a small but inherent risk when material is supplied through interlibrary loan. Although the percentage is very small, some material is lost or damaged at some point along the route from the supplier and back again. The requesting library's responsibility for this loss is based on the concept that if the request not had been made, the material would not have left the supplier's shelf, and thus would not have been put at risk. This section clearly delineates that the requesting library is responsible for the material from the time it leaves the supplying library until its safe return to the supplying library.

If the requesting library asks for delivery at a location away from the library (such as to the user's home), the requesting library is likewise responsible for the material during this

delivery and return process. In any case, a final decision regarding replacement, repair, or compensation rests with the supplying library.

Although the code stipulates that the requesting library is required to pay if billed for a lost or damaged item, the supplying library is not necessarily required to charge for a lost item. In the case of lost material, the requesting and supplying libraries may need to work together to resolve the matter. For instance, the library shipping the material may need to initiate a trace with the delivery firm.

1.10 Due Date and Use Restrictions

This code makes a departure from earlier codes that described due dates in terms of a "loan period" which was interpreted as the length of time a requesting library could retain the material before returning it. The primary object of this section is to provide a clear definition of due date as the date the material must be checked in at the supplying library. This definition brings ILL practice into alignment with automated circulation procedures and is intended to facilitate interoperability of ILL and circulation applications.

The requesting library should develop a method for monitoring due dates so that material can be returned to and checked in at the supplying library by the due date assigned by the supplying library.

The requesting library is responsible for ensuring compliance with any use restrictions specified by the supplying library such as "library use only" or "no photocopying."

1.11 Renewals

When the supplying library denies a renewal request the material should be returned by the original due date.

1.12 Recalls

The response to a recall may be the immediate return of the material, or timely communication with the supplying library to negotiate a new due date.

When the material has been recalled, the requesting library is encouraged to return the material via an expedited delivery carrier such as UPS, FedEx, or USPS Priority Mail.

1.13 Shipping

Libraries shipping materials for interlibrary loan purposes should follow ALA's *Interlibrary Loan Packaging and Wrapping Guidelines*[viii] *and ALA's Guidelines for Packaging*

and Shipping Microforms.[ix] If the supplying library states any special shipping or handling instructions, such as returning via a certain shipper, by priority mail, etc., the requesting library needs to comply with these instructions.

1.14 Suspension of Service

Repeated or egregious breaches of this code may result in the requesting library's inability to obtain material. Examples of actions that may result in suspension include lost or damaged books, allowing "library use only" books to leave the library, or failing to pay the supplier's charges.

2. Responsibilities of the Supplying Library

2.1 Lending Policy

The lending policy should be clear, detailed, and readily available to requesting libraries. The policy should include among other things, schedule of fees and charges, overdue fines, non-circulating items/categories, shipping instructions, calendar for service suspensions, penalties for late payments, etc.

The supplying library is encouraged to make its lending policy available in print, on the library's Web page, and, as appropriate, in the OCLC online Name Address Directory (NAD), RLG's *Shares Participants and Interlibrary Loan Directory*,[x] Leslie Morris' *Interlibrary Loan Policies Directory*.[xi]

The supplying library should be willing to fill requests for all types and classes of users, and all types of libraries, regardless of their size or geographic location.

2.2 Material Format

Supplying libraries are encouraged to lend as liberally as possible regardless of the format of the material requested. It is the obligation of the supplying library to consider the loan of material on a case-by-case basis. Supplying libraries are encouraged to lend audiovisual material, newspapers, and other categories of material that have traditionally been non-circulating.

Supplying libraries are encouraged to follow ACRL's *Guidelines for the Loan of Rare and Unique Materials*[xii] and the *Guidelines for Interlibrary Loan of Audiovisual Formats*.[xiii]

If permitted by copyright law, the supplying library should consider providing a copy in lieu of a loan rather than giving a negative response.

Supplying libraries should be alert to license agreements for electronic resources that prohibit use of an electronic resource to fill copy requests.

2.3 Confidentiality

The supplying library has a responsibility to safeguard the confidentiality of the individual requesting the material. The sharing of the user's name between requesting and supplying library is not, of itself, a violation of confidentiality. However, the supplying library should not require the user's name if the requesting library chooses not to provide it. If the name is provided, the supplying library needs to take care not to divulge the identity of the person requesting the material.

2.4 Timely Processing

The supplying library has a responsibility to act promptly on all requests. If a supplying library cannot fill a request within a reasonable time then it should respond promptly. Some ILL messaging systems such as OCLC and DOCLINE have built-in time periods after which requests will either expire or be sent to another institution. The supplying library should respond before this time expires rather than allow requests to time-out.

Timely processing of a loan or copy may involve other library departments, such as circulation, copy services, and the mailroom. The ILL office is responsible for ensuring that material is delivered expeditiously, irrespective of internal library organizational responsibilities.

The supplying library should, when charging for materials, make every effort to allow for a variety of payment options. Payment through electronic crediting and debiting services such as OCLC's ILL Fee Management (IFM) system or other non-invoicing payment forms such as IFLA vouchers should be encouraged. The supplying library that charges should make every effort to accept the use of vouchers, coupons, or credit cards. Paper invoices should be avoided if at all possible.

2.5 Identifying the Request

The supplying library should send enough identifying information with the material to allow the requesting library to identify the material and process the request quickly. Such information may include a copy of the request, the requestor's transaction number, or the user's ID or name. Failure to include identifying information with the material can delay its processing and may risk the safety of the material. Supplying libraries are encouraged to enclose an accurate and complete return-mailing label.

2.6 Use Restrictions and Due Date

Although it is the responsibility of the requesting library to ensure the safe treatment and return of borrowed material, the supplying library should provide specific instructions when it is lending material that needs special handling. These instructions might include the requirement that material be used only in a monitored special collections area, no photocopying, library use only, specific return packaging/shipping instructions, etc. The supplying library should not send "library use only" material directly to a user.

The supplying library should clearly indicate the date on which it expects the loan to be discharged in its circulation system. As explained in section 4.10 above, this code has moved away from the concept of a loan period, to a definite date that accommodates the sending and return of material as well as sufficient time for the use of the material. For example, under the previous code a supplying library may have given "four weeks use" as the "due date" with the expectation that the user would have that period of time to use the material. Under this code, a supplying library might establish a due date of six (6) weeks for the purpose of providing one (1) week for shipping, four (4) weeks for use, and one (1) week for the return trip and check-in.

2.7 Delivery and Packaging

The location specified by the requesting library may include the requesting library, a branch or departmental library, or the individual user.

The supplying library takes care that the material it sends out is properly packaged to protect the item from damage even though the requesting library will be held responsible for material damaged in shipment. The supplying library should also include any instructions on how it expects the material to be packaged on its return shipment. Supplying libraries should not give a postal box number as the return address if they are asking for return via UPS, FedEx, etc. Many supplying libraries find it safer and more cost effective to ship all material via expedited carriers. The shipping library should follow ALA's *Interlibrary Loan Packaging and Wrapping Guidelines*[xiv] and ALA's *Guidelines for Packaging and Shipping Microforms.*[xv] Both the requesting and supplying libraries should work together when tracing a lost or damaged item if the commercial delivery firm is responsible for reimbursement for losses in transit.

2.8 Renewals

The supplying library should respond affirmatively or negatively to all renewal requests. The supplying library is encouraged to grant the renewal request if the material is not needed by a local user.

2.9 Recall

The supplying library may recall material at its discretion at any time. Increasingly, some libraries are finding it more effective to request the material on ILL for a local user rather than recall material in use by another library.

2.10 Service Suspension

A supplying library should not suspend service without first attempting to address the problem with the requesting library.

3.Tools and Technology[3]

At present there are several options to access OCLC ILL. One can use any or a combination of the options below.

3.1 **Passport** – This is for OCLC users who are familiar with OCLC commands Currently a larger number of ILL users use Passport which has a command line interface to access the system. There will be no more enhancements to Passport, as it will be phased out as web interface is phased in. At present you can

  ♦ create and use OCLC Passport macros specific to your workflow
  ♦ stack commands and edit at home positions

3.2 **Web Interface** to OCLC ILL is an alternative to OCLC Passport. Both provide the same functions. The advantages are

  ♦ one need not remember the commands as one has to for Passport
  ♦ infrequent ILL users, staff who substitute for regular staff, new staff will all benefit
  ♦ Easy to use graphical interface
  ♦ Easy to create and maintain custom holdings records
  ♦ Task screens lead you through an ILL transaction
  ♦ Links to OCLC Participating Institutions, Validation sources, and other OCLC web resources

3.2 First Search –ILL Micro Enhancer (ME)   This is useful for those who handle a high volume of ILL through Batch downloading and updating

  ♦ Allows scheduled and immediate batch download and updating ILL requests
  ♦ Provides constant data and conditional notes
  ♦ Allows quick entry of updates by scanning ILL number Bar codes

3.3 **OCLC ILL MicroEnhancer Plus** This soft ware **(ILL ME Plus)** interfaces with PRISM ILL to streamline a library's activity. It can be set to do routine tasks such as:

  • Batch loading, printing, updating
  • Mailing Labels
  • Print "shipped" forms
  • Schedule multiple downloads/ updates
  • Transfer function
  • Custom Sorting

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[3] For more information access www.oclc.org/technicalbulletins/

3.4 **ILLIAD** This is a comprehensive ILL management system and automates the borrowing and lending functions and seamlessly integrates the process and electronic document delivery in one web-based customer inter-face. It completely eliminates paperwork.

The Customer can

♦ Request items 24 hours a day from any place that has Internet access.
♦ Automatically checks OCLC, RLIN, DOCLINE
♦ View checked out items and history of requests, including complete citations and tracking data
♦ Track all ILL requests in a single simple interface eliminating phone calls and e-mails to staff
♦ Attach an unlimited number of notes to a request
♦ Renew loans on-line
♦ View and print e-documents from e-mail messages

The staff can

♦ Manage the entire process with a single powerful interface
♦ E-mail users on receipt of an item, overdue and cancelled requests.
♦ Produces bar-coded labels with full transaction information for each borrowed item.
♦ Print address labels and return slips to accompany materials returned
♦ Prints book labels and book straps to accompany materials provided to the patrons.

ILLIAD also

♦ Allows an easy search and check of most major local OPACs
♦ Sorts imported records into an unlimited number of user defined queues
♦ Routes incoming requests into a "rush" queue according to any field in the request
♦ Generates invoices and tracks billing information
♦ Supports the OCLC ILL Fee Management service
♦ Stamps date and time on every transaction affecting a request
♦ Supports the "reasons for no" feature in OCLC ILL

Cost of ILLIAD depends on the number of borrowing RQS per year and needs a dedicated server running Windows NT or 2000 and SQL software. For more information visit www.illiad.oclc.org

3.5 **ILL-First Search Link** An optional Link between the OCLC First Search service and the OCLC ILL direct request service allows patrons to generate OCLC Interlibrary loan service requests for materials cited in First Search databases. This link is possible if the library uses both First Search and ILL and the First search Administrator turns the ILL Access ON in the First Search Administrative module.

Patron generated ILL workforms are transferred to OCLC ILL by First search and are processed using Direct Request profiles

3.6 **Load Leveling** In order not to burden any one library in the system it is important to use load-leveling techniques**.** It is important therefore to define Custom Holdings and a Path to route requests. The first set of lenders would normally be the libraries in the local areas followed by libraries in the region, followed by libraries outside your region. Some libraries

prefer to create a path of all LVIS libraries. The referral Libraries like the State Library are often the last in the string so that if all else fails then the State Library or the Referral Library would try outside resources.

3.7 **Union Listing of Serials (ULS):** Once the library holdings are entered into the OCLC system through the ULS, the information contained in both the ILL subsystem and the ULS is the same but it is viewed in different formats. In the ULS the Local Data Record (LDR) is created, edited and maintained. Serials cannot be borrowed through the ILL subsystem. In the ILL subsystem the serial can be borrowed. For detailed information see Section 3 of OCLC's *Union List User Guide*, or Part 1 of the OCLC's *Interlibrary loan User Manual*.

The Union list of Serials is only as good as the information entered into it. Maintenance is required of all libraries participating in serials union listing. Inaccuracies and incomplete data will slow down the process. LDRs should be updated regularly to show changes in holdings due to cancellations, title-changes, mergers, and items lost or withdrawn. OCLC maintains online reports to keep union list participants informed of changes in bibliographic records which affect union listing. Typing news uls and press <F11> from any subsystem can view these reports.

3.8 **SharePAC** OCLC SharePAC system lets libraries and GAC groups store Bibliographic records and holdings information on a CD-ROM for use by library staff and patrons. SharePAC reduces telecommunication and transaction costs while linking the library to PRISM ILL. A SharePAC workstation can serve as a local library catalog, a union catalog for a GAC group, and an ILL workstation.

3.9 **ILL monthly activity report** This report provides statistics of

- borrowing-to-lending ratio,
- filled versus unfilled requests,
- average monthly turnaround time for receiving items requested
- tracks reasons for "no"
- produces and tracks invoices
- and a lot more.

The year-to-date totals are based on a July-June Fiscal year

4. Special Collections

4.1 **Government Documents and Patents** The State Library and Archives houses the largest collection of Arizona State agency publications. Partner institutions holding collections of state documents include Arizona State University (ASU), University of Arizona(UA), Northern Arizona University (NAU), Mesa Public Library, Tucson Pima Public Library and Phoenix Public Library. Most State publications are cataloged on OCLC database,

although there are still some that are uncataloged in the State Library and Archives collection

The only full regional depository for federal government publications in Arizona is the State Library and Archive, which receives all publications included in the depository program of the US Government Printing Office. Partial depositories in Arizona receive a percentage of the collection. [4]

AZ State agency publications and Federal Government publications may be requested without verification of holdings on OCLC from the State Library. If you would like to verify holdings you may call the General Information Services in the Law and Research Division at 602-542-3701 or AZ Toll Free 1-800-228-4701 or send e-mail to research@lib.az.us or send a fax to 602-542-4400 Libraries also may request publications from local depository libraries, provided holdings have been verified.

4.2   **Patents** Federal Depository Libraries in Arizona can provide Basic Information about US patents. However, the Nobel Science and Engineering Library at ASU participates in the Patent and Trademark Depository Library Program (PTDLP) and maintains the most extensive collection of U.S. Patents in Arizona including:
o   Utility Patents (complete set 1970 to date)
o   Design Patents (Complete set 1842 to date)
o   Plant Patents (incomplete set, 1931-1942, 1975 to date)
o   Changes Deletions and Reissues (CDRs) (complete set 1838 to date)

Copies of the U.S. Patents may be obtained from the U.S. Patent and Trademark Office (USPTO) [5]

Public Libraries through the state can request photocopies of Patents for their Patrons via ILL. The interlibrary loan request to ASU must contain the Patent number. Also copies of U.S. Patents maybe obtained from the Noble Library by self-service copying or through the Copy Center. Telephone and Fax requests are not accepted. [6]

4.3   **Thesis and Dissertations** The libraries at the three Arizona universities loan their graduate theses and dissertations. In most cases there is an archival copy that does not circulate and a circulating copy that can be obtained through interlibrary loan for the regular loan period. At the University of Arizona, post-1982 theses and dissertations are only available in microfiche, which is loaned. In recent years, masters' theses are no longer submitted to the UA library and are thus not available. The UA Arizona Health Sciences Library will loan nursing theses from its collection.

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[4] List of depository libraries in AZ http://www.lib.az.us
U.S. Government Printing Office website http://www.gpo.gov/su_doc use search site option
[5] http://www.uspto.gov
Tel 703-305-4350
[6] For more info see http://www.asu.edu/lib/noble

4.4   **Medical Materials** There are a number of AZNET member libraries that have strong collections of medical and health-related materials. Several academic institutions support nursing and other health-related curricula, including Arizona State University (AZS), Northern Arizona University (AZN). Phoenix Public Library also has solid holdings in this area.

Other libraries that may not be AZNET or OCLC members include most major hospital libraries, which have extensive clinical collections that may be available through ILL. Gateway Community College also has a strong collection in the health sciences, which can be borrowed.

Another resource is the Arizona Health Sciences Library (AHSL), the largest medical library in Arizona and is an NLM Resource Library. Books, theses, videos and other audiovisuals are loaned from the collection for a period of one month and article copies are sent within 24-48 hours of receipt via Ariel, fax, email, mail and postings to the web. AHSL accepts requests via OCLC (AZA), Docline (AZUARI) and the ALA Interlibrary Loan Form as well as Loansome Doc, a fee-based document delivery service for the general public from the National Library of Medicine. The AHSL ILL service is a cost recovery operation and individuals, libraries and organizations are charged a fee for each filled transaction. For more information see: http://www.ahsl.arizona.edu

ILL Management

5. Copyright Issues

5.1 Copyright Clearance Center Inc[7]. (CCC) is the largest licenser of text reproduction rights in the world, was formed in 1978 to facilitate compliance with U.S. copyright law. CCC provides licensing systems for the reproduction and distribution of copyrighted materials in print and electronic formats throughout the world. CCC's Transactional Reporting Service (TRS) makes it possible to get instant permission to photocopy copyrighted materials for course reserves in both print and electronic or interlibrary loans. Members just log on to TRS, search for the name of the publication containing the material needed. After reviewing the price, the member reports what they need to photocopy and are invoiced for the copyright fees.

CONTU Guidelines [8](National Commission Guidelines on New Technological Uses of Copyrighted Works) The guidelines were finalized in 1979 and developed as a tool for Interlibrary Loan/Document Delivery staff and librarians to use when applying section 108 of the U.S. Copyright Law to Interlibrary Loan transactions.

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[7] For more information www.copyright.com.
[8] For more information http://www.cni.org/docs/infopols/CONTU.html

There is a lot of Information on the Web on various Copyright issues and rather that explaining al of them here the links are provided and you may wish to see the one that you need to check when you need it.

DMCA (Digital Millennium Copyright Act)

U.S. Copyright Act, Section 108
http://www4.law.cornell.edu/uscode/17/108.html

U.S. Copyright Act
http://www4.law.cornell.edu/uscode/17/index.html

U.S. Copyright Law of the United States of America
Provided by the U.S. Copyright Office
http://www.loc.gov/copyright/title17/

U.S. Copyright Office
http://www.loc.gov/copyright/

EduCause: Digital Millennium Copyright Act, Current Issues
http://www.educause.edu/issues/dmca.html

Other Copyright Links:

Copyright and Fair Use: Stanford University Libraries
http://fairuse.stanford.edu/

Center for the Public Domain
http://www.centerforthepublicdomain.org/

CONFU: The Conference on Fair Use
http://www.uspto.gov/web/offices/dcom/olia/confu/

Copyright Issues: Multimedia and Internet Resources
Georgia Harper, Office of General Counsel, University of Texas System
http://www.utsystem.edu/ogc/intellectualproperty/mmfruse.htm

Legal Information Institute: General Copyright Information
http://www.law.cornell.edu/topics/copyright.html

UCITA (Uniform Computer Information Transaction Act)[9]

The Uniform Computer Information Transaction Act is a code of laws dealing with software and database licensing issues that cover contracts involving computer software, documentation,

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[9] For more information http://www.ala.org/washoff/ucita/

databases, web sites, e-books, digital movies and digital sound recordings. It is intended to codify and standardize state contract laws concerning business practices involving signed licenses, shrink-wrap licenses, and "click-through" licenses for software, databases and web sites.

UCITA is a proposed uniform law, and must be adopted by each state's legislature before it becomes a law in that state. In 2000, Maryland and Virginia became the first two states to approve this law. Since then, it has not been adopted by any other state.

6. Document Delivery

6.1 Commercial Document suppliers Requests can be sent to any of the document suppliers through OCLC ILL service. Some suppliers set holdings in WorldCat by participating in the OCLC ILL Full-Text Option program. These suppliers can deliver full text documents through messages to your library's e-mail system. Details about the suppliers' services, ordering instructions and charges are available on the OCLC website at http://www.oclc.org/oclc/ill/supplier.htm

6.2 Courier Systems Trans Amigos Express **.** This is an Amigos-wide Courier service offering low-cost, rapid pick-up and delivery of ILL items among participating libraries TAE libraries pay an annual fee for a 5-day week service. Most deliveries take place within 24-48 hours and there are no restriction on the number of packages, although each package is limited to a maximum of 50 lbs. TAE operates at present in Texas, New Mexico, Arkansas and Oklahoma and is shortly expected to be available in Arizona.

6.3 UPS/FedEx The UPS is the normal mode of delivery and FedEx the normal mode of urgent delivery.

6.4 Ariel/ Prospero Delivery via the web

6.5 Fax A number of Libraries are using FAX for article delivery or delivery of photocopied pages from a reference or 'not-for-loan' collection.

1. Statistics Collection Issues

1.1   Its Importance Statistics are always a nightmare for the staff and a requirement for a Manager. There are federal requirements for reporting statistics for all public libraries. The definitions are all given in the Public Library statistics report document in sections 8.24- 8.26. Just a few clarifications….

- ♦ Libraries involved in ILL are NOT under the same library administration i.e. part of the same county library district, or they share the same automation/circulation OPAC or are a branch of the same Metro Library
- ♦ Libraries that are part of the same administration i.e. county library district or share the same OPAC or are a branch of a metro library will report such transactions as INTRA-LIBRARY LOANS

7.2 Options AZNET libraries have several options to obtain ILL statistics from OCLC.

7.21 ILL Management Statistics he first option is to subscribe to OCLC's ILL Management Statistics Service. For an annual fee of approximately $500, OCLC will provide monthly detailed statistics about your library's borrowing and lending activity through the OCLC ILL Service, which can then be used to analyze your ILL operation and prepare statistical reports. You may track such information as:

- Number of borrows and loans
- Borrows by library user status, department and ID
- Fill rate
- Lender turnaround time
- Top borrowing and lending libraries
- Collection analysis information such as frequently borrowed & requested titles
- Copyright compliance

To subscribe, use your OCLC Name-Address Directory (NAD) organization record and set the :ILL MGT STATS: field to Y or Yes. You will then begin to receive two ASCII files each month via FTP on the web. These files can be viewed or printed with spreadsheet and database software applications such as Microsoft Excel or Access. There are also report macros that can be used with Excel and Access that make it easier to manage the statistics. To download these free files, go to: http://www.oclc.org/oclc/ill_mgmt_stats/reportmc.htm.

7.22 Software applications In recent years a number of software applications have been developed by commercial vendors, which are designed to help ILL departments manage their ILL operations, keep statistics and reduce paper files. While these products vary widely in functionality and cost, most provide an automated interface to the OCLC ILL service for borrowing and lending, allow for automatic processing of status updates, produce extensive reports and statistics, and provide a web interface for patron submission of requests.

Products are constantly being improved, with some applications upgrading to newer versions several times a year. Many are now incorporating the ISO ILL Protocol, the international standard, which allows libraries to communicate with each other peer-to-peer, i.e. without an intermediary such as OCLC. Below are brief descriptions of some of the ILL management systems currently available:

7.23 CLIO [10] Clio is a standalone ILL system that is based on Microsoft Access 2000. It may be installed on one workstation or on a server linked to many workstations. Clio is used in a variety of small to large libraries, including academic, public and special. Clio has automated interfaces with all of the major bibliographic utilities, including OCLC. Of the three systems highlighted, Clio is the most affordable and at this time has the most installations in the U.S. The software is sold outright and is priced by the number of transactions filled annually by the library. Clio supports electronic desktop delivery

7.24 Fretwell-Downing[11] Fretwell-Downing's VDX system is a sophisticated, standards-based interlibrary loan and document delivery system. It is fully ISO ILL/IPIG Profile compliant and incorporates the Z39.50 standard to enable searching of disparate databases and data types with integrated results. VDX runs on an Oracle database, which can reside either on Unix or NT. Users may choose to use one central server for multiple sites or operate in a distributed server mode. Pricing is based on the number of transactions and number of sites. VDX requires the largest initial financial outlay of these three products. Currently VDX installations in the U.S. include large consortia such as statewide library systems or state university systems.

2. Pricing[12]

2.1 ILL Fee Management service IFM allows users of OCLC ILL to pay and be paid for through their OCLC invoices. ILL Fee Management works if:
- o Both lender and borrower have entered valid ILL Fee Management statements
- o The Lending Charges amount does not exceed the Maxcost amount.
- o The status of the request is updated to received by the borrower.
- o IFM debits charges to the borrowing library
- o IFM credits charges to the Lending library
- o IFM charges a small administration fee

8.2 **Transactional Pricing** charges for every
- o Search
- o Holdings display
- o Produce
- o IFM transaction (borrowers

8.3 Consolidated Pricing

- o Allows you to pay a single price for each ILL request produced
- o Allows up to 4 searches for each ILL request (any type)
- o Surcharge for searches over the 4-1 ratio
- o Surcharge charged quarterly
- o Quarterly reports to let you know what your ratio is

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[10] For more information **http://cliosoftware.com**
[11] For more information **http://www.fdusa.com/fdusa.html**
[12] For more information go to www.oclc,org type in IFM

Libraries that benefit from consolidated Pricing are those with high volume of ILL; multiple searches for each ILL request produced; multiple holdings displays for each ILL request produced and a library that uses IFM

3. Training and Continuing Education Training/Continuing Education

OCLC and AMIGOS Library Services help facilitate the learning of various ILL resources to support the training and continuing education needs of its members.

OCLC [13]offers workshops, online tutorials and documentation to aid in the training of their services and databases.

AMIGOS Library Services:[14]
If a library is a member of Amigos, then several training options are available to further meet the needs of Amigos' Libraries. These include:

On-request Training
Amigos trainers will travel to your library to provide your staff a custom session for any course listed in our training catalog. On-request training is an economical way to train a group of staff members without incurring costly travel expenses for each participant. This option works well when you want to focus on the particular needs of your library staff or consortium.

Regional Training Sessions
Amigos staff schedules sessions throughout the region, open to all member libraries as well as non-members. This option works well when only one staff member needs training on a particular topic and when staff wants to interact with staff from other libraries. Our computer classes are hands-on for the most effective learning experience

Learning @ Amigos.Org (Distance Learning)
Amigos trainers can facilitate your learning using several distance-learning technologies, including the Internet, satellite, and two-way video teleconferencing. An Internet-based Amigos distance learning initiative begun in 2001 will result in a growing list of courses available in a self-paced format. Class-paced courses over the Internet will be added in 2002. Periodically, Amigos schedules training open to all members using satellite teleconferencing technology. In addition, we can deliver on-request training using other teleconferencing technology to which you have convenient access, such as two-way video and Internet-based meeting services. Amigos staff is available to discuss your training needs and work with you to select the best match in delivery technology.

Customized Training Sessions
Amigos staff can assist you in assessing your competencies and training needs through simple but effective assessment tools such as questionnaires and checklists, then develop courses tailored to meet your needs

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[13] For more information http://www.oclc.org/services/sharing and http://www.oclc.org/oclc/ill/doc.htm
[14] For more information http://www.amigos.org/training/index.html

4. **AMIGOS-Bibliographical Center for Research (BCR) Reciprocal Arrangement**

Amigos and BCR have a reciprocal ILL agreement as a permanent option to their members who are interested in expanding their resource sharing opportunities to include members of both networks BCR, our OCLC network neighbor to the North, represents over 300 libraries in the Midwest. Primarily in Colorado, Iowa, Kansas, Utah and Wyoming. Amigos members willing to reciprocate can provide their patrons expanded access to the rich resources of participating BCR libraries. 400 member libraries from both networks are already benefiting from participation in this agreement. Libraries that are participating will modify their Name Address Directory (NAD) by entering "AMIGOS/BCR ILL Agreement Yes" in the affiliation field of the organization record Also when creating a request these libraries will indicate their participation by entering "@/AM-BCR" in the following places
- The borrowing Note field of the OCLC ILL work-form
- The cost area of the ALA form

Further Reading

❖ American Library Association. Reference and Adult Services Division. *Guidelines and Procedures for Telefacsimile and Electronic Delivery of Interlibrary Loan Requests.* 1993. <http://www.ala.org/rusa/stnd_telefax.html>

❖ Interlibrary Loan Code for the United States. Prepared by the Interlibrary Loan Committee, Reference and User Services Association, 1994, revised 2001. Approved by the RUSA Board of Directors January 2001. http://www.ala.org/rusa/stnd_lnc.html

❖ Interlibrary Loan Code for the United States Explanatory Supplement http://www.ala.org/rusa/stnd_ill_supp.html

❖ Morris, Leslie. *Interlibrary Loan Policies Directory.* 6th ed. New York: Neal-Schuman, 1999

❖ Research Libraries Group. *Shares Participants and Interlibrary Loan Directory.* 5th ed. 1996. <http://www.rlg.org/shares/illd.html